



QUESTIONNAIRE FOR FINANCIAL INSTITUTIONS

PURPOSE

The Illinois State Treasurer's Office is dedicated to achieving strong financial returns while accelerating the socioeconomic progress of diverse and historically underserved communities. While the number of financial institutions owned or managed by minorities, women, veterans, and disabled (MWVD) persons has certainly increased in recent years, we believe that more can be accomplished to strengthen prosperity and wealth creation in these communities. Furthermore, research demonstrates that various MWVD-owned companies are well-situated to ascertain capital inefficiencies in the market, and as such, are in a position to outperform their peers. As such, the Treasurer's Office seeks to better understand its impact in doing business with and utilizing services from financial institutions that feature diverse investment professionals.

Completion of this questionnaire will assist the Treasurer's Office in further detailing its impact in support of diverse financial professionals. This will enable the Treasurer's Office to strengthen its capacity to develop new methods for identify promising financial companies and connect MWVD businesses and communities with sources of capital.

WHERE TO SUBMIT

Send completed questionnaires to Max Dulberger at MDulberger@illinoistreasurer.gov

PLEASE ANSWER THE FOLLOWING QUESTIONS

Company Name _____

Address _____

Number of Employees Company-wide: _____

Number of Employees in Illinois Offices: _____

Point of Contact Name _____ *Title* _____

Phone _____ *Email* _____

Date Completed _____

1. **Ownership.** Please note the number of individuals – such as those on the Board of Directors, for instance – that hold an ownership interest in the company (*enter “n/a” if the firm is publically traded*): _____

a) Among the owners, how many are ethnic minorities, women, military veterans, or disabled persons?

Ethnic Minorities _____
Women _____

Military Veterans _____
Disabled Persons _____

2. **Professional Staff.** Please note the number of staff members on the executive management team, such as CEO, President, CFO, COO, etc. (*If you wish to clarify your definition of “executive management,” please feel free to submit an explanation as an attachment*): _____

a) Among the executive management team, how many are ethnic minorities, women, military veterans, or disabled persons?

Ethnic Minorities _____
Women _____

Military Veterans _____
Disabled Persons _____

3. **Activities.** Please highlight any activities, projects, or services the company administers to alleviate societal issues and enhance its commitment to corporate social responsibility. Please feel free to include pertinent attachments as necessary.

4. **Supplier Diversity.** Does the company encourage supplier diversity or maintain a supplier diversity program? If so, please provide a summary of company objectives and any information available on recent performance.